

DEPARTMENT OF FINANCE
SUMMARY OF REQUIRED INFORMATION TECHNOLOGY REPORTS AND ACTIVITIES

Report/Activity	Source	Instructions to Departments	Send to	Due Dates
Project Related Documents				
Feasibility Study Reports (FSR), Special Project Reports, FSR-Reporting Exemption Requests	SAM Sections 4819 and 4920-4945 BL 04-07 MM 03-05	Send three hard copies to Finance (FSRs, SPRs, and FSR-RERs), one hard copy to the Legislative Analyst's Office (LAO) (FSRs and SPRs only), and one hard copy to the Department of General Services/ Procurement Division (DGS/PD) (FSRs and SPRs only) when project exceeds DGS/PD delegated purchasing authority.	Finance/TIRU LAO DGS/PD	Annually in July (July 16 for 2004-05) if related to budget action for fall cycle. January 18, 2005 if related to budget action for spring cycle and no deadlines if not tied to budget action—note date changes.
Information Technology Procurement Plan (ITPP)	MM 03-05	Send one hard copy to DGS/PD when project exceeds DGS/PD delegated purchasing authority.	DGS/PD	Concurrent with FSR, and SPR when project scope changes, or there is an increase in contract value, or there is a change in the procurement methodology.
Independent Project Oversight Report	SAM Section 4819.36	Send one hard copy to Finance.	Finance/TOSU (Oversight Unit)	Ongoing, submit in accordance with the IT Project Oversight Framework requirements (See SIMM Section 45)
Post Implementation Evaluation Reports	SAM Section 4947	Send one hard copy to Finance and one hard copy to the LAO.	Finance/TOSU (Oversight Unit) LAO	Within 18 months of project completion.
Security Related Documents				
IT Risk Management Certification	SAM Section 4842 and 4845	Send one hard copy letter to Finance certifying that the agency is in compliance with the Risk Management Program.	Finance/TOSU (Security Unit)	Annually, January 31 of each year.
Department Designation Letter	SAM Section 4841.1 and 4845	Send one hard copy certification to Finance designating an ISO and/or Operational Recovery Coordinator.	Finance/TOSU (Security Unit)	Annually, January or within 10 days of designating a new ISO and/or Operational Recovery Coordinator.
Operational Recovery Plan (ORP)	SAM Sections 4843.1 and 4845	Send one informational hard copy to Finance.	Finance/TOSU (Security Unit)	Annually, staggered dates (See SIMM Section 05).

Report/Activity	Source	Instructions to Departments	Send to	Due Dates
Security Related Documents				
Operational Recovery Plan Certification	SAM Sections 4843-4845. Refer to the special condition defined in SAM Section 4845, subsection 1.b.	Send one hard copy certification to Finance.	Finance/TOSU (Security Unit)	Annually, staggered dates (See SIMM Section 05).
Security Incident Notification and Security Incident Reporting (SIR)	SAM Section 4845 BL 03-03	Call (916) 657-8287 (CHP) for notification of computer security incidents and computer crime. CHP will notify Finance. For reportable incidents, departments must file a written SIR, one hard copy, to Finance.	Finance/TOSU (Security Unit)	Provide telephone notification immediately upon the discovery of the incident. Submit written report to Finance (TOSU Security Unit) within ten working days of the incident.

Report/Activity	Source	Instructions to Departments	Send to	Due Dates
Organizational/Planning Documents				
Agency Information Management Strategy (AIMS) and certification	SAM Sections 4900.3, 4900.5, and 4900.7	Send two hard copies of the following to Finance/TIRU: <ul style="list-style-type: none"> The most current approved AIMS; The most current AIMS annual certification transmittal letter from your Director (or designee); and The most current approval letter from the control agency last approving the AIMS. 	Finance/TIRU	Annually, August
Information Management Organization	SAM Section 4903.1	Send two hard copies of organization charts to Finance.	Finance/TIRU	Annually, June
Information Management Costs (tracks prior year, current year, and budget year costs—combination of actuals and estimates)	SAM Section 4903.2	For 2004, departments should collect internally. Beginning in 2005, send two hard copies to Finance	Finance/TIRU	Suspended for 2004, due annually every January thereafter starting in 2005.

Software Management Plan	SAM Section 4846.2	Retain annual certification along with summary of updated inventories for three years.	Each agency CIO shall retain internally for three years.	Annually, January.
--------------------------	--------------------	--	--	--------------------

Report/Activity	Source	Instructions to Departments	Send to	Due Dates
Organizational/Planning Documents				
Workgroup Computing Policy (WCP) Certification	SAM Sections 4903.4 and 4989.4	<p>If Department has an approved WCP, send two hard copies of the following to Finance/TIRU:</p> <ul style="list-style-type: none"> • The most current approved WCP; • The most current WCP annual certification transmittal letter from your Director (or designee); and • The most current approval letter from the control agency last approving the WCP. 	Finance/TIRU	Annually, January.

Send Finance reports, plans, and certifications to: 915 L Street, 6th Floor, Sacramento, CA 95814

TIRU: Linda Simone, Acting Assistant Chief, Technology Investment Review Unit

TOSU (Oversight): Linda Simone, Assistant Chief, Technology Oversight and Security Unit

TOSU (Security): Debra Reiger, State Information Security Officer, Assistant Chief, Technology Oversight and Security Unit

Send DGS documents to:

DGS/PD: Michelle Ogata, Acting Acquisitions Branch Manager, Procurement Division, Department of General Services, 707 3RD Street, West Sacramento, CA 95605-2811